

United States Senate

Financial Disclosures

Annual Report for Calendar 2018

The Honorable A. Mitchell McConnell Jr. (McConnell, A. Mitchell Jr.)

Filed 05/15/2019 @ 10:03 AM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

☐ I *omitted* assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Self	Other (Required Minimum Distribution)	Mitch IRA MLPA Louisville, Kentucky	\$8,480.00
2	Spouse	Other (Pay-out of Deferred Compensation - Deferred Stock Units Vesting)	Wells Fargo & Company San Francisco, CA	> \$1,000

#	Who Was Paid	Type	Who Paid	Amount Paid
	Spouse	Other (Pay-out of Deferred Compensation - Deferred Stock Units Vesting)	Vulcan Materials Birmingham, AL	\$1,000

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	Republic Bank and Trust (Louisville, KY) Type: Checking,	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
2	MNNAX - Victory Munder Multi-Cap A	Trust General Trust	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$5,001 - \$15,000
3	VHCAX-Vanguard Capital Opportunity Adm (NASDAQ)	Trust General Trust	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$15,001 - \$50,000
4	VSIAX-Vanguard Small Cap Value Index Admiral (NASDAQ)	Trust General Trust	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
5	VFIAX-Vanguard 500 Index Admiral (NASDAQ)	Trust General Trust	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
6	A. Mitchell McConnell, Jr. Revocable Trust	Trust General Trust	Self			
6.1	Merrill Lynch (Louisville, KY) Type: Money Market Account,	Bank Deposit	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
7	Mitch IRA MLPA	Retirement	Self			

	Asset	Plans Asset Type	Owner	Value	Income Type	Income
7.1	Bank of America (Louisville, Kentucky) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.2	SCPB-SPDR Barclays Short Term Corp Bd ETF (NYSEArca)	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.3	VCSH - Vanguard Short-Term Corporate Bond ETF (NASDAQ)	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.4	IWM-iShares Russell 2000	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.5	SPY - SPDR S&P 500 ETF	Mutual Funds Exchange Traded Fund/Note	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.6	VO-Vanguard Mid-Cap ETF	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
8	Vanguard 529 College Savings Plan <i>Institution: Vanguard</i>	Education Savings Plans 529 College Savings Plan	Self			
8.1	Vanguard Aggressive Growth Portfolio (Age Based)	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
9	Vanguard 529 College Savings Plan <i>Institution: Vanguard</i>	Education Savings Plans 529 College Savings Plan	Self			
9.1	Vanguard Aggressive Growth Portfolio (Age Based)	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
10	VMMXX-Vanguard Money	Mutual Funds	Joint	None (or	Excepted	None (or less than \$201)

	Market Reserves (NASDAQ) Asset	Mutual Fund Asset Type	Owner	less than Value (\$1,001)	Investment Income Type Fund,	Income
11	VMSXX - Vanguard Municipal Money Market Fund	Mutual Funds Mutual Fund	Joint	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$15,001 - \$50,000
12	VFIAX-Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$5,000,001 - \$25,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
13	Real Property with Carriage House Rental <i>Description: Real Property with Carriage House Rental (Washington, DC)</i>	Real Estate Residential	Joint	\$1,000,001 - \$5,000,000	Rent/Royalties,	\$15,001 - \$50,000
14	UBS Pension Trust (9 items)	Trust General Trust	Spouse			
14.1	UBS (uninvested cash held by UBS) (Washington, DC) <i>Type: Checking,</i>	Bank Deposit	Spouse	None (or less than \$1,001)	Interest,	None (or less than \$201)
14.2	WGIFX-American Funds Capital World Gr&Inc F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14.3	SDSCX-Dreyfus/The Boston Co Sm/Md Cp Gr I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
14.4	FEGIX-First Eagle Gold I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
14.5	PEQPX-Principal Equity Income P (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14.6	GFFFX-American Funds Growth Fund of Amer F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14.7	DPFFX-Delaware Diversified Income Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14.8	TGBAX-Templeton Global	Mutual Funds	Spouse	\$1,001 -	Excepted	None (or less than \$201)

	Bond Adv (NASDAQ) Asset	Mutual Fund Asset Type	Owner	\$15,000 Value	Investment Income Type	Income
14.9	PGDPX - Principal Global Div Inc P (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
15	(Heritage Foundation 403(b)) SWGXX - Schwab Government Money Fund -	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
16	(Heritage Foundation 403(b)) VFIAX-Vanguard 500 Index Admiral	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
17	(Heritage Foundation 403(b)) PREIX-T. Rowe Price Equity Index 500 (NASDAQ) <i>Filer comment: Previously only noted as "Retirement;" but also part of "Heritage Foundation 403(b)."</i>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
18	(Heritage Foundation Retirement) SWGXX - Schwab Government Money Fund	Mutual Funds Mutual Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
19	(Heritage Foundation Retirement) ARTKX-Artisan International Value Investor	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
20	(Heritage Foundation Retirement) BARAX-Baron Asset Retail	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
21	(Heritage Foundation Retirement) FAIRX-Fairholme	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
22	(Heritage Foundation Retirement) LSBDX-Loomis Sayles Bond Instl	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
23	(Heritage Foundation Retirement) OAKMX- Oakmark I	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

24	(Heritage Foundation	Mutual Funds	Spouse	\$1,001 -	Excepted	None (or less than \$201)
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	Asset	Asset Type	Owner	\$15,000 Value	Investment Income Type	Income
	(Retirement) RSEIX-Royce Special Equity Instl	Mutual Fund				
25	(Heritage Foundation Retirement) SLASX-Selected American Shares S	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
26	(Heritage Foundation Retirement) PRMSX-T. Rowe Price Emerging Markets Stock	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
27	(Heritage Foundation Retirement) VGSLX-Vanguard REIT Index Adm	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
28	(Heritage Foundation Retirement) WIIBX - Segall Bryant & Hamill Plus Bond Fund Institutional <i>Filer comment: Security name change in 2018; formerly " (Heritage Foundation Retirement) WIIBX-Westcore Plus Bond Institutional"</i>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
29	(Retirement) Deutsch VSI Capital Growth - Mutual of America <i>Filer comment: Tax Deferred Annuity</i>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
30	SunTrust Solid Choice Banking (Washington, DC) <i>Type: Checking,</i>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
31	SunTrust Advantage Money Market Account (Washington, DC) <i>Type: Money Market Account,</i>	Bank Deposit	Joint	\$250,001 - \$500,000	Interest,	\$201 - \$1,000
32	Suntrust Business Checking	Bank Deposit	Spouse	\$250,001 -	None,	None (or less than \$201)

	Asset (Firebird International LLC) (Washington, DC) Type: Checking, Filer comment: Firebird International LLC is a single member LLC and this entity does not have any value other than the cumulative value of its individual assets.	Asset Type	Owner	\$500,000 Value	Income Type	Income
33	Suntrust Business Money Market Performance (Firebird International LLC) (Washington, DC) Type: Money Market Account, Filer comment: Firebird International LLC is a single member LLC and this entity does not have any value other than the cumulative value of its individual assets.	Bank Deposit	Spouse	\$50,001 - \$100,000	Interest,	\$201 - \$1,000
34	Suntrust Personal Savings Account (Washington, DC) Type: Savings,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
35	UBS IRA (7 items)	Retirement Plans IRA	Spouse			
35.1	WGIFX-American Funds Capital World Gr&Inc F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.2	FEGIX-First Eagle Gold I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
35.3	PEQPX-Principal Equity Income P (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.4	RSPYX-RS Partners Y	Mutual Funds	Spouse	\$15,001 -	Excepted	None (or less than \$201)

	(NASDAQ) Asset	Mutual Fund Asset Type	Owner	\$50,000 Value	Investment Income Type	Income
35.5	GFFFX-American Funds Growth Fund of Amer F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.6	DPFFX-Delaware Diversified Income Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.7	TGBAX-Templeton Global Bond Adv (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
36	Scottrade (Washington, DC) Type: Brokerage Sweep Account, Checking,	Bank Deposit	Spouse	None (or less than \$1,001)	Interest,	None (or less than \$201)
37	TRBCX-T. Rowe Price Blue Chip Growth (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
38	PRITX-T. Rowe Price International Stock Fd (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
39	RPMGX-T. Rowe Price Mid-Cap Growth (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$15,001 - \$50,000
40	PRSCX-T. Rowe Price Science & Tech (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$5,001 - \$15,000
41	OTCFX-T. Rowe Price Small-Cap Stock (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$5,001 - \$15,000

42	(Pension Trust) VUSXX -	Mutual Funds	Spouse	\$1,000,001	Excepted	None (or less than \$201)
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	Asset Vanguard Treasury Money Market	Mutual Fund Asset Type	Owner	- Value \$5,000,000	Investment Income Type Fund,	Income
	<i>Filer comment:</i> Converted within the Pension Trust from Vanguard 500 Index to Vanguard Treasury Money Market in 2018.					
43	VGIAX-Vanguard Growth & Income Adm (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
44	VMSXX - Vanguard Municipal Money Market Fund	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
45	VFIAX-Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$15,001 - \$50,000
46	(IRA) VFIAX-Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
47	WFC-Wells Fargo & Company (NYSE)	Corporate Securities Stock	Spouse	\$500,001 - \$1,000,000	Dividends,	\$15,001 - \$50,000
48	Wells Fargo & Company/phantom stock (Director Deferred Compensation) <i>Company:</i> Wells Fargo & Company (San Francisco, CA) <i>Description:</i> Phantom stock (Director Deferred Compensation)	Deferred Compensation	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
49	Vulcan Materials Deferred Compensation <i>Filer comment:</i> All vested in April 2018 - no more deferred compensation.	Deferred Compensation Deferred Compensation - Other	Spouse			

49.1 **VMC - Vulcan Materials** Corporate Spouse \$250,001 - Dividends, \$2,501 - \$5,000

	Company Asset	Securities Asset Type Stock	Owner	\$500,000 Value	Income Type	Income
50	UBS CSSP (via Ingersoll-Rand)	Deferred Compensation Deferred Compensation - Other	Spouse			
50.1	IR-Ingersoll-Rand Plc	Corporate Securities Stock	Spouse	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
51	MNNAX-Victory Munder Growth Opportunities A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
52	UBS PSP	Trust General Trust	Spouse			
52.1	UBS (uninvested cash held by UBS) (Washington, D.C.) Type: Checking,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
52.2	JHIGX - JHancock International Growth R2	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
52.3	JDVPX - JHancock Disciplined Value R2	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
53	Elaine L Chao Revocable Trust <i>Filer comment:</i> Electron Global was the underlying asset. Redeemed in 2016.	Trust General Trust	Spouse	None (or less than \$1,001)	None,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Transaction

#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
Transaction #	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	03/05/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment
2	06/01/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment
3	09/06/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment
4	12/05/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Self	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Capital Gains Reinvestment
2	Self	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
3	Self	--	Vanguard Aggressive Growth Portfolio (Age Based)	Purchase	12/03/2018	\$1,001 - \$15,000	--
4	Self	--	Vanguard Aggressive Growth Portfolio (Age Based)	Purchase	12/03/2018	\$1,001 - \$15,000	--
5	Self	<u>VHCAX</u>	Vanguard Capital Opportunity Fund Admiral Shares	Purchase	12/18/2018	\$1,001 - \$15,000	Dividend Reinvestment
6	Self	<u>VHCAX</u>	Vanguard Capital Opportunity Fund Admiral Shares	Purchase	12/18/2018	\$15,001 - \$50,000	Capital Gains Reinvestment
7	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	03/21/2018	\$1,001 - \$15,000	Dividend Reinvestment
8	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	06/21/2018	\$1,001 - \$15,000	Dividend Reinvestment
9	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	09/27/2018	\$1,001 - \$15,000	Dividend Reinvestment
10	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	12/21/2018	\$1,001 - \$15,000	Dividend Reinvestment

11	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	03/23/2018	\$1,001 - \$15,000	Dividend Reinvestment
#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
12	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	06/27/2018	\$1,001 - \$15,000	Dividend Reinvestment
13	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	09/25/2018	\$1,001 - \$15,000	Dividend Reinvestment
14	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	12/14/2018	\$1,001 - \$15,000	Dividend Reinvestment
15	Spouse	<u>TRBCX</u>	T. Rowe Price Blue Chip Growth Fund	Purchase	12/13/2018	\$1,001 - \$15,000	Dividend Reinvestment
16	Spouse	<u>PRITX</u>	T. Rowe Price International Stock Fund	Purchase	12/17/2018	\$1,001 - \$15,000	Dividend Reinvestment
17	Spouse	<u>RPMGX</u>	T. Rowe Price Mid-Cap Growth Fund	Purchase	12/13/2018	\$15,001 - \$50,000	Dividend Reinvestment
18	Spouse	<u>PRSCX</u>	T. Rowe Price Science and Technology Fund	Purchase	12/14/2018	\$1,001 - \$15,000	Dividend Reinvestment
19	Spouse	<u>OTCFX</u>	T. Rowe Price Small-Cap Stock Fund	Purchase	12/13/2018	\$1,001 - \$15,000	Dividend Reinvestment
20	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	03/23/2018	\$15,001 - \$50,000	Dividend Reinvestment
21	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	06/27/2018	\$15,001 - \$50,000	Dividend Reinvestment
22	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	09/25/2018	\$15,001 - \$50,000	Dividend Reinvestment
23	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	12/14/2018	\$15,001 - \$50,000	Dividend Reinvestment
24	Spouse	<u>VGIAX</u>	Vanguard Growth and Income Fund Admiral Shares	Purchase	06/15/2018	\$1,001 - \$15,000	Dividend Reinvestment
25	Spouse	<u>VGIAX</u>	Vanguard Growth and Income Fund Admiral Shares	Purchase	12/18/2018	\$15,001 - \$50,000	Dividend Reinvestment
26	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	03/23/2018	\$1,001 - \$15,000	Dividend Reinvestment
27	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	06/27/2018	\$1,001 - \$15,000	Dividend Reinvestment

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
28	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	09/25/2018	\$1,001 - \$15,000	Dividend Reinvestment
29	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	12/14/2018	\$1,001 - \$15,000	Dividend Reinvestment
30	Spouse	--	JDVPX - John Hancock Funds Disciplined Value Fund Class R2 (UBS PSP)	Purchase	12/17/2018	\$1,001 - \$15,000	Dividend Reinvestment
31	Spouse	--	WGIFX - American Funds Capital World Gr&Inc F2 (UBS Pension Trust)	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
32	Spouse	--	GFFFX - American Funds The Growth Fund of America Class F2 (UBS Pension Trust)	Purchase	12/24/2018	\$1,001 - \$15,000	Dividend Reinvestment
33	Spouse	--	PEQPX - Principal Equity Income (UBS Pension Trust)	Purchase	12/20/2018	\$1,001 - \$15,000	Dividend Reinvestment
34	Spouse	--	PEQPX - Principal Equity Income (UBS IRA)	Purchase	12/20/2018	\$1,001 - \$15,000	Dividend Reinvestment
35	Spouse	--	WGIFX - American Funds Capital World Gr&Inc F2 (UBS IRA)	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
36	Spouse	--	RSPYX - Victory RS Partners Fund Class Y (UBS IRA)	Purchase	12/20/2018	\$1,001 - \$15,000	Dividend Reinvestment
37	Spouse	--	GFFFX - American Funds The Growth Fund of America Class F2 (UBS IRA)	Purchase	12/24/2018	\$1,001 - \$15,000	Dividend Reinvestment
38	Spouse	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Capital Gains Reinvestment
39	Spouse	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
40	Spouse	--	(Pension Trust) VFIAX - Vanguard 500 Index Fund Admiral Shares	Sale (Full)	04/02/2018	\$1,000,001 - \$5,000,000	Converted within the Pension Trust from Vanguard 500 Index to Vanguard Treasury Money Market

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **Yes**

#	Date	Recipient	Gift	Value	From
1	02/14/2018	Self	17th Annual Waterways Council Inc. Leadership Award plaque	\$468.97	Waterways Council Washington, DC
2	10/20/2018	Self	Veterans of Foreign Wars (VFW) Gold Medal of Merit	\$398.00	The Veterans of Foreign Wars of the United States Kansas City, Mo
3	09/06/2018	Self	Plaque from Minor League Baseball in recognition of leadership and public service	\$826.28	Minor League Baseball St. Petersburg, FL

Part 6. Travel

Did you, your spouse, or dependent child receive any **reportable travel**? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **No**

Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jun 1994 to present	Other (Member, Visiting Committee (Uncompensated))	University of Kentucky College of Law Lexington, Kentucky	Other (Public University/Law School)	None

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
1	Oct 2015	Sentinel, an imprint of Penguin Publishing Group, a division of Penguin Random House LLC (Sentinel) New York, New York	Other (Compensation and Royalty Agreement)	A contract in which the undersigned agreed to complete a manuscript in exchange for publication and \$325,000 in compensation, payable in installments, by Sentinel. The contract also provides for royalty payments in the following manner: 15% of the retail price for all hardcover editions of the book sold; 7.5% to 10% of the retail price for all trade edition and mass market paperback copies sold; and 25% of the receipts for e-book edition sales.

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.